



RECEIVED

AUG 14 2003

TC 1700

17547

8
PATENT

Attorney Docket No. USRA SWCNT - VI

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Mark S.F. Clarke, et al.

Serial No.: 09/932,986

Examiner: LISH, Peter J.

Filed: August 21, 2001

Art Unit: 1754

For: Production of Stable Aqueous Dispersions of Carbon Nanotubes

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450US PATENT &
TRADEMARK OFFICE

2003 JUN 27 P 4:00

TRADEMARK FEE PROCESS
RECEIVED

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Enclosed is a Supplemental Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

- ☐ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☒ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
- ☒ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
- ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. §1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☒ Check No. 6943 in the amount of \$180.00 for the total fee is attached.
- ☐ A return receipt is also enclosed.
- ☐ Please charge \$_____ to Deposit Account No. 05-0460 for the total fee. This paper is being submitted in duplicate.

08/13/2003 SSITHIBI 00000004 09932986

01-FC:1805

180.00-0P



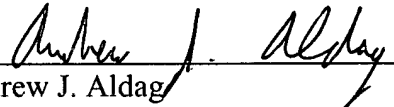
The Commissioner is hereby authorized to charge any additional appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 05-0460.

Dated: June 27, 2003

EDELL, SHAPIRO & FINNAN, LLC
CUSTOMER NO. 27896
1901 Research Boulevard, Suite 400
Rockville, MD 20850
(301) 424-3640

Respectfully submitted by
EDELL, SHAPIRO & FINNAN, LLC

By:



Andrew J. Aldag
Reg. No. 40,483



Attorney Docket No. USRA SWCNT - VI

RECEIVED

AUG 14 2003

PATENT

TC 1700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Mark S.F. Clarke, et al.

Serial No.: 09/932,986

Examiner: LISH, Peter J.

Filed: August 21, 2001

Art Unit: 1754

For: Production of Stable Aqueous Dispersions of Carbon Nanotubes

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(c)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.
§§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08A is enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. _____ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ Publication(s) _____ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to _____ application serial no. _____ and mailed on _____.
- ☐ Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) _____. English language publication _____ (copy enclosed) claims priority from this non-English publication.

- ☐ Enclosed is an explanation of non-English publication(s) _____ for which an English translation is not available.
- ☐ Enclosed is are English translation Abstracts of non-English patent documents cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. _____.

This Information Disclosure Statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing of:

- ☒ a final action under 37 C.F.R. §1.113;
- ☒ a notice of allowance under 37 C.F.R. §1.311; or
- ☒ an action that otherwise closes prosecution in this application.

In accordance with 37 C.F.R. §1.97(c) also enclosed is:

- ☒ Fee under 37 C.F.R. §1.17(p) in the amount of \$180.00; or
- ☐ Statement as specified in 37 C.F.R. §1.97(e):
 - ☐ Each item of information contained in the Information Disclosure Statement cited herein was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
 - ☐ No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, having made a reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing date of the Information Disclosure Statement.

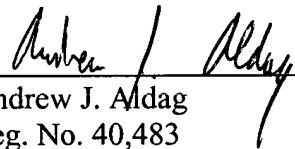
It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Dated: June 27, 2003

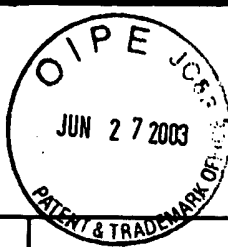
EDELL, SHAPIRO & FINNAN, LLC
CUSTOMER NO. 27896
1901 Research Boulevard, Suite 400
Rockville, MD 20850
(301) 424-3640

Respectfully submitted by
EDELL, SHAPIRO & FINNAN, LLC

By:



Andrew J. Aldag
Reg. No. 40,483



RECEIVED

AUG 14 2003

TC 1700
Complete if Known

Application Number	09/932,986
Filing Date	August 21, 2001
First Named Inventor	Mark S.F. Clarke, et al.
Group Art Unit	1754
Examiner Name	Peter J. Lish
Attorney Docket Number	1920.0003C

[illegible]

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)			
			WO 02/16257	A3	Smalley et al.	02/28/02	
			RU 2086503	C1	Ivanovich	08/10/97	
			RU 2085484	C1	Ivanovich	07/27/97	
			RU 2133727	C1	Dzhemilev	07/27/99	
			CN 1335257			02/13/02	
			KR 20010049398			06/15/01	
			KR 20010049453			06/15/01	
			KR 20010049546			06/15/01	
			WO 01/92381	A1	Barrera et al.	12/06/01	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

⁶ Applicant is to place a check mark here if English language Translation is attached.